

Information that may be helpful in completing applications for financial assistance for the Open Rivers Initiative Grants competition under CFDA # 11.463 (updated 10-31-05)

Contents of this File:

- **Introduction**
- **List of standard NOAA forms and other information needed to complete an application for financial assistance**
- **Helpful hints for filling out NOAA forms**

Introduction

The NOAA Restoration Center is providing this supplementary file of information, instructions and helpful links to aid potential applicants in the preparation of an application package for the Open Rivers Initiative Project Grants (ORI) competition for fiscal year 2006 under the Catalogue of Federal Domestic Assistance (CFDA) # 11.463.

Specific requirements regarding the standard forms, project and budget narrative sections, as well as the criteria that will be used to evaluate applications, can be found in the Federal Funding Opportunity (FFO) posted on www.grants.gov. The FFO also contains more detailed information about the ORI, including eligibility information, anticipated funding levels, and an approximate timeline for evaluation and recommendation of applications for funding.

***NOTE: NOAA strongly encourages applicants to use the grants.gov website to submit applications electronically, as indicated in the October 31, 2005 DOC/NOAA Federal Register Notice. The only electronic applications that will be accepted are those submitted through grants.gov; paper applications will only be accepted if grants.gov cannot reasonably be used. The Funding Opportunity Number for the Open Rivers Initiative Project Grants Competition on Grants.gov is: NMFS-HCPO-2006-2000405.**

Standard NOAA Forms and other information needed to complete an application for financial assistance under the ORI

- **SF-424: Application for Federal Assistance** (In Block 10, put CFDA number 11.463 - Habitat Conservation)
- **SF-424A: Budget Information for Non-Construction Programs**
- **SF-424B: Assurances - Non-Construction Programs**
- **Budget Narrative** (attach document)

- **Project Narrative** (attach document)
- **Curriculum vitae (CV) or resume** (of primary project personnel only)
- **Site location map of the project area**
- **CD-511: Certifications Regarding Lobbying**
- **SF-LLL: Disclosure of Lobbying Activities** (If Applicable)
- Applicants may also be required to submit form [CD-346](#), if applicable.

Note: [Universal Identifier](#) --- Starting **October 1, 2003**, all applicants are required to use a Universal Identifier ([Instructions on how to obtain a Universal Identifier/DUNS number](#))

Helpful hints for filling Out NOAA Grant Application Forms for ORI Grants

The information provided below is intended to **supplement** the instructions provided with the federal grant application forms. This information should decrease common errors and confusion when filling out federal grant applications for the NOAA Open Rivers Initiative Project Grants competition. Instructions below correspond with Pure Edge forms found on the grants.gov website.

SF-424 – Application for Federal Assistance

1. Type of Submission: All ORI projects are **Non-Construction** (even though they may have construction elements); there is no pre-application for this competition.
2. Date Submitted: Must be on or prior to listed postmark date.
3. Date Received By State: (leave blank)
4. Date Received By Federal Agency: (leave blank)
5. Applicant Information: Legal Name of organization or Agency, DUNS number (see link above) Address; Name, phone, fax and email address of the primary contact person.
6. Employer Identification Number
7. Type of Applicant - choose one
8. Type of Application - Almost all applications are **New**.
9. Federal Agency: NOAA National Marine Fisheries Service or NOAA Fisheries
10. Catalog of Federal Domestic Assistance Number: Habitat Conservation 11.463
11. Title: Short Descriptive Title - include location in title if possible
12. Areas Affected by Project
13. Proposed Project: Project period can be up to 24 months. (e.g. 4/01/07 - 3/31/09)
 - a. **Start Date**: Must be the **first day** of the month (include month, day and year)
 - b. **End Date**: Must be **last day** of the month (include month, day, year)
14. Congressional District: see <http://www.congress.org>
 - a. Applicant's District
 - b. Project's District
15. Estimated Funding: All matching dollars must be cash or in-kind **non-federal** resources available during the project period stated on the application. Only include funds that will

be used to match this federal request.

- a. Federal: Total dollar amount you are requesting under the ORI for the project
 - b. Applicant match
 - c. State match
 - d. Local match - local government
 - e. Other
 - f. Program income - not usually applicable
 - g. Total: Total of the lines above
16. Is application subject to review by state executive order 12372: The ORI is covered by E.O. 12372. Please check with your state government or planning office or see the website <http://www.whitehouse.gov/omb/grants/spoc.html> to determine if your state requires submission of the application for state review.
17. Is the applicant delinquent on any federal debt?
18. Name, title, phone, fax and email of the authorized representative that will be submitting the application through grants.gov. Signature and date will be electronic, upon submission of the completed application through grants.gov.

SF424A - Budget Information - Non-Construction Programs

Section A - Budget Summary

1.
 - a. Grant Program: Habitat Conservation
 - b. Catalog of Federal Domestic Assistance Number: 11.463
 - c.&d. Estimated Unobligated Funds: leave blank.
 - e. Federal: Total federal dollars requested from the ORI for this project
 - f. Non-federal: Total dollars and in-kind match to be used during project period
 - g. Total: should auto fill.
- 2-4. Typically left blank
5. e.- g. Totals should auto fill, and **must match the total indicated on line 15 (g) of the SF-424.**

Section B - Budget Categories

6. Object Class Categories (a-k): Federal dollar expenditures and non-federal match dollars and in-kind resources should be separated out by object class. List the federal dollars requested, by object class, in column (1) and the non-federal matching contributions by object class in column (2). Totals will appear on the right (column 5) and across the bottom (row k). Include the following additional information in the budget narrative:
 - a. Personnel: include salary, wage, and hours or % of time committed to project of each person by job title
 - b. Fringe Benefits: should be identified for each individual. Must be described in detail if the rate \geq 35 % of the associated salary.
 - c. Travel: provide a breakdown of travel costs totaling \geq \$5,000 or 5 % of award.

- Include destination, duration, type of transportation, estimated cost, number of travelers, lodging, mileage rate and estimated number of miles, and per diem.
- d. Equipment: Equipment is any single piece of non-expendable, tangible personal property $\geq \$5,000$, that has a useful life of \geq one year (i.e. computer, copy machine).
 - e. Supply: can be any supplies needed for the grant work. A detailed explanation is required for any supply costing more than \$5,000 or 5% of the award. Equipment that is less than \$5,000 / piece is considered by the federal government as a supply.
 - f. Contractual: list each contract or subgrant as a separate item, give cost breakdown and describe products/services to be obtained by the contractor.
 - g. Construction: only charge construction costs for construction of buildings (i.e. green house, educational center). All other project related construction costs should be contractual labor.
 - h. Other: list items, cost, and justification for each expense
 - i. Total direct charges
 - j. Indirect charges: **To use line (j) to claim indirect charges**, an indirect cost agreement with the federal government should be established, and **a copy of the agreement showing currently valid dates should be submitted with the application**. Applicants will be limited to the amount of indirect costs stated in the FFO. In the case where an indirect cost agreement has not been established, indirect costs can be incorporated into other line items (i.e. fringe benefits, other) as long as they are justified in the budget narrative.
 - k. Totals of direct and indirect charges should auto fill.
7. Program Income: Will the award generate income for the program? Most awards do not.

Section C - Non-Federal Resources

8.
 - a. Grant Program: Habitat Conservation 11.463
 - b. Applicant non-federal match
 - c. State non-federal match
 - d. Other sources of non-federal match
 - e. Totals
- 9-11. Typically left blank
12. Totals should add automatically: **Total non-federal resources must match non-federal resources as listed on the SF424 and the SF424A pg 1.**

Section D - Forecasted Cash Needs

13. Federal Forecasted Cash Need: Estimate how much federal project funds would be needed each quarter—this is a non-binding estimate for planning purposes.
14. Non-federal Forecasted Cash Need (same as above for non-federal expenditures)
15. Total Federal and Non-federal cash need should auto fill.

Section E - Budget Estimates of Federal Funds Needed For Balance of the Project

16.- 22. Not applicable for projects up to 24 months.

SF424B - Assurances - Non-Construction Programs

- Fill in applicant organization and title of authorized official. Signature and date will be electronic, upon submission of the completed application through grants.gov.
- **CD 511 (Certifications Regarding Lobbying)**
Fill in name of applicant, project name, and authorized official name and title; award number will not be determined until a project is recommended to receive funding.
- **SF LLL (Disclosure of Lobbying Activities)** Fill out and submit if applicable.
- **CD-346 (Applicant for Federal Assistance)** Required for the following individuals: Non-profit Organizations, Sole Proprietorship, Partnerships, Corporations and Joint Venture. Fill out and submit as applicable.

Budget Narrative:

All applications must have a detailed budget narrative explaining and justifying the federal and the non-federal expenditures by object class. The budget narrative must accurately describe the budget breakdown of Section B (Budget Category) of the 424A form. For clarification and simplicity, it is best to discuss each expense by object class in the order they appear on the SF424A. Indicate whether or not expenditures are federal or non-federal in nature. Include the dollar amounts in the discussion and how the dollar amounts were derived. A spreadsheet with federal and matching expenditures can also be included but is not required. Matching funds for the project must be available and used during the stated project period and cannot be used to match other awards. The budget narrative can also be used to indicate additional resources that are going toward the project, but that are not included as non-federal match for the requested funds, for purposes of reviewer evaluation of a project's cost-effectiveness.

Example Budget Narrative:

Personnel (Federal Share), \$8,250

John Doe, project manager, will provide 480 hours of work at \$25/hr for managing and carrying out a barrier removal project.
Total: \$6,000

Alice Doe, biologist, will provide 1 ½ months at \$1,500/month of technical support, field work, and project coordination.
Total: \$2,250

Personnel (Non-federal Share), \$7,800

Administrative support that includes accounting, filing, developing outreach materials and coordinating volunteers will be carried out by Mary Smith, administrative assistant. Mary will dedicate 300 hours at \$15.00/hr to this effort.
Total non-federal in-kind match: \$4,500

Fifty volunteers will be recruited to plant native riparian vegetation in the area immediately around the project site. It is estimated that the volunteer work will take 4 hours per person for a total of 200 volunteer hours at \$16.50 / hr.
Total non-federal in-kind match: \$3,300

Fringe Benefits (Federal Share), \$2,137.50

The applicant's fringe benefit rate is 15% of salary. \$1800 is for benefits for John Doe and \$337.50 for Alice Doe. Fringe benefits go toward FICA, medical and dental insurance, retirement and disability.
Total: \$2137.50

Fringe Benefits (Non-federal Share), \$675

Fringe benefits for Mary Smith, 15%, to cover health insurance, FICA, retirement and disability. Total: \$675

Travel (Federal), \$2,385

Travel funding will be required for volunteers and biologist to travel to and from the project site. Fifty volunteers will be transported in five rental vans (\$55/day) for three days totaling \$825. Mileage expense will be charged at \$0.33 /mile for an estimated round trip of 200 miles / van. (Mileage total: \$330).
Total rental and mileage: \$1,155

Alice Doe, biologist, will be presenting papers on the project progress and results at a barrier removal conference (to be determined). Estimated airfare (\$800), lodging (2 nights, \$100/night, total lodging \$200), food (\$40/day, total \$80), and car rental and gas (\$150). Total conference travel:
Total: \$1,230

Travel (Non- federal) - none

Equipment (Federal) - none

Equipment (Non-federal), - none

Supplies (Federal), \$10,527.50

Field Gear and survey equipment – Includes chest waders, felt-soled boots, write-in-rain notebooks, equipment bags, stream flow gauges, maps.

Total: \$1,000

Flyers and posters will be made to recruit volunteers.

Total: \$500

Interpretive/Education exhibit design and construction.

Total: \$1,527.50

Native plants/trees will be purchased to revegetate the riparian area around project site.

Total: \$5,000

A laptop computer will be purchased to record fish counts and fish passage data in the field prior to and after completion of the barrier removal. Data will be recorded and analyzed using the laptop computer. Total: \$2,500

Supplies (Non-federal), \$4,000

The applicant will purchase \$3,000 in software for the lap-top computer to collect and analyze data.

Total: \$3,000

The applicant will purchase gloves, fertilizer, buckets, rakes, insulated water coolers, and other supplies necessary for volunteers to plant trees and riparian plants.

Total: \$1,000

Contractual (Federal), \$75,000

Contractors will be hired to carry out restoration construction (barrier removal) – Includes funding for project engineer, heavy equipment rental, heavy equipment operators, and project materials. Costs estimated from 70% design plan.

Contractual (Non-federal) - \$90,000

The City will purchase a bottom-less arch culvert to be installed at the project site.

Total \$85,000

The City will provide management and redirection of traffic flow.

Total: \$5,000

Other (Federal) - none

Other (Non-federal), \$250

The applicant will cover the cost of cell phones, office phones, and local and long-distance charges for arranging and coordinating volunteer involvement. Total: \$250

Total Direct Charges:	Federal:	\$98,300
	Non-federal:	\$102,725

Total Indirect Charges:	Federal:	\$0.00
	Non-federal:	\$0.00

Total Charges:	Federal:	\$98,300
	Non-federal:	\$102,725

- Note: awardees must ensure that any contracts reflect applicable federal, state, and local laws.

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